



DATE March 19, 1963

DDR&E

Department of Defense Instruction

SUBJECT

**Defense Documentation Center for Scientific and
Technical Information (DDC)**

- Refs.: (a) DoD Dir. 5100.36, "DoD Technical Information," Dec 31, '62
(b) DoD Instr. 5129.43, "Assignment of Functions for the Defense
Scientific & Technical Information Program," Jan 22, '63
(c) DoD Dir. 5200.1, "Safeguarding Official Information in the
Interests of the Defense of the U.S.," Jul 8, '57
(d) DoD Dir. 5230.9, "Clearance of DoD Public Information,"
Aug 17, '57

I. AUTHORITY AND PURPOSE

Pursuant to the authority vested in the Director of Defense Research and Engineering under reference (a), this Instruction reconstitutes the Armed Services Technical Information Agency as the DEFENSE DOCUMENTATION CENTER for Scientific and Technical Information (DDC) under the management control of the DDR&E, and under the operational control of the Department of the Air Force. The functions and authority of, and the procedures and rules for operation of, the DDC are set forth below.

II. APPLICABILITY AND SCOPE

- A. The provisions of this Instruction apply to all DoD components.
- B. This Instruction does not apply to documents categorized as follows:
1. Top Secret.
 2. Cryptographic.
 3. Designated special categories of intelligence.
 4. Registered documents or publications.
 5. Contract proposals, administrative reports, orders and memoranda.
 6. Information furnished the U. S. by foreign governments when its dissemination in accordance with this Instruction is forbidden by the foreign government.

III. DEFINITIONS

As used in this Instruction and its inclosure, the following definitions apply:

- A. Document. All types of formally recorded scientific and technical results from DoD research, development, test and evaluation.
- B. Sponsoring DoD Activity. The Department of Defense activity or office (i.e., project office or system program office) which is directly responsible for initiating or supervising the program involved in a contract, grant, or study agreement.
- C. Contractor. An individual or organization outside the Department of Defense which has accepted any type of agreement or order for providing supplies or services under procedures established by the Armed Services Procurement Regulation. The term specifically includes both a prime contractor and a subcontractor.
- D. Potential Contractor. An organization outside the Department of Defense declared eligible for documentation services by a sponsoring DoD activity on the basis of participation in one of the following programs:
 - 1. Any program within the Department of the Army whose purpose is to maintain an industrial research and development capability or to keep industry informed of Army research and development requirements (e.g., The U. S. Army R&D Problems Guide).
 - 2. The Department of the Navy Long-Range Scientific and Technical Planning Program.
 - 3. The Department of the Air Force Technical Objectives Document Release Program.
- E. Grantees. An organization outside the Department of Defense to which grant funds have been awarded, in lieu of a contract, by a sponsoring DoD activity.

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IV. OBJECTIVES

In organizing the DDC as a documentation center, it is intended that the following objectives will be reached:

- A. Acquisition of all DoD scientific and technical documents, subject only to limitations expressly defined in this Instruction.
- B. Prompt and well-indexed announcements of newly acquired DoD scientific and technical documents.
- C. Timely dissemination of scientific and technical documents to the DoD community.
- D. Effective interchange of unclassified scientific and technical documents with other Government documentation services.
- E. Rapid notification of availability of scientific and technical documents to Information Centers.
- F. Progressive improvement for efficient handling of scientific and technical documents through continuing analysis of advanced techniques and equipment and through study of user needs.
- G. Promotion of high standards for the preparation of scientific and technical documents.
- H. Coordination of techniques with both domestic and foreign documentation centers.

V. FUNCTIONS AND AUTHORITIES

- A. The primary function of the DDC is to acquire, store, announce, retrieve, and provide secondary distribution of scientific and technical documents, as well as the following specific related functions:
 - 1. Prepare special document and abstract listings upon request.
 - 2. Provide special services, upon request, for dissemination of its holdings and acquisitions and for dissemination of bibliographic data, abstracts, and index terms related thereto.

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3. Test, evaluate, and apply developed techniques and equipment which have direct application to the improved distribution of technical documents.
 4. Maintain and improve a working vocabulary of terms for use in the processing of scientific and technical information throughout the DoD RDT&E effort.
 5. Provide additional documentation services which may be specifically authorized by DDR&E.
- B. The services of the DDC will be available to all components of the Department of Defense, contractors, other government agencies and their contractors, grantees and potential contractors.
- C. Under the supervision of the Director of Defense Research and Engineering, DDC will:
1. Maintain a clearing-house, in the form of an index, of current RDT&E programs.
 2. Establish a centralized directory and provide referral service on available DoD-generated scientific and technical information activities.

VI. RESPONSIBILITIES

- A. The Secretary of the Air Force is responsible for:
1. The administration and operational support of the DDC under the policy direction of the DDR&E.
 2. Programming, budgeting, funding, accounting and reporting for the operations of DDC.
- B. Each DoD component will:
1. Arrange for an orderly transfer to the DDC of the document center functions (as defined in reference (b)) which it operates or supports.
 2. Establish internal procedures and enforce contractual provisions which require that reproducible copies of documents containing the results of its RDT&E efforts are provided to the DDC.
- C. The Departments of the Army, Navy, and Air Force, and the Advanced Research Projects Agency will each appoint a representative to act as liaison with the DDC.

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VII. OPERATION

- A. Inclosure 1 to this Instruction provides procedures and rules for the operation of the DDC.
- B. DDC will handle all documents received and disseminated in accordance with reference (c).
- C. Unclassified documents that may be released to the public in accordance with reference (d) will be transmitted to the Federal agency designated by law or otherwise responsible for the dissemination of scientific and technical documents to the general public.

VIII. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective upon receipt. Two (2) copies of implementing instructions shall be forwarded to the DDR&E within thirty (30) days of the date of this Instruction.

Harold Brown

Director of Defense Research & Engineering

Inclosure - 1
Operation of the DDC

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OPERATION OF THE DEFENSE DOCUMENTATION CENTER
For
Scientific and Technical Information
(DDC)

I. Acquisition of Non-DoD Documents:

- A. The DEFENSE DOCUMENTATION CENTER (DDC) may accept RDT&E documentation from foreign governments through established military channels. It may deal directly with foreign governments on matters of standardizing and improving bibliographic techniques in accordance with established procedures.
- B. DDC may accept any domestic RDT&E technical documents essential to Department of Defense RDT&E programs, excepting those documents carrying classifications listed in Section II. B. of the body of the Instruction.

II. Security Procedures:

- A. Classified information in DDC's possession will receive the security protection prescribed by reference (c).
- B. The Commander of DDC shall develop and execute internal plans, procedures, and standards concerning the receipt, dissemination, segregation, handling, and storing of classified documents, and the guarding of its buildings or areas to insure that such information is properly protected and is not subjected to compromise.
- C. The Commander of DDC shall designate those individuals employed by, or serving with, DDC who must be given a background investigation, with favorable results.

III. Dissemination of Classified Information: In the absence of limitations to the contrary and in accordance with current security regulations, DDC shall disseminate classified RDT&E documents upon request as follows:

- A. To activities of the Department of Defense.
- B. To other agencies of the Executive Branch and/or their contractors in accordance with specific instructions issued by the Military Departments or by the Director of Defense Research and Engineering.

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- C. To Department of Defense contractors when granted a facility security clearance of an appropriate degree according to the Armed Forces Industrial Security Regulation and when the sponsoring military activity concerned approves the dissemination in accordance with the provisions of paragraph V. B. 2.
- D. To Department of Defense potential contractors and grantees, in the same terms as "C" above, if the potential contractor or grantee has executed a Department of Defense Security Agreement (DD Form 441) and has a current facility security clearance of an appropriate degree pursuant to the Armed Forces Industrial Security Regulation.
- E. All classified material furnished to Department of Defense contractors, potential contractors, and grantees shall be transmitted directly to the intended recipient activity and shall include instructions that the material must be safeguarded in accordance with the Department of Defense Industrial Security Manual for Safeguarding Classified Information. All classified material furnished to other contractors pursuant to "B" above shall be transmitted in accordance with the instructions issued by the authorizing Department of Defense activity. In any case, classified material shall be sent to the authorized activity only. If an individual within an activity is the intended recipient, the material shall be addressed to the authorized activity and marked for the attention of the individual.

IV. Dissemination of Unclassified Information:

- A. Upon request, DDC may disseminate unclassified RDT&E documents to activities of the Department of Defense and other agencies of the Executive Branch without reference to the originator, provided that no limitation has been imposed thereon by the originator.
- B. Upon request, DDC may disseminate unclassified RDT&E documents to Department of Defense contractors, grantees, and potential contractors within the Continental United States without reference to the originator for use in connection with United States military projects or contracts and other Department of Defense work, provided that no limitation on dissemination has been imposed by the originator.

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C. DDC may announce unclassified RDT&E reports upon which no limitation has been imposed by the originator, and may furnish microform copies of such reports to foreign governments and international organizations in accordance with instructions from the Assistant Chief of Staff, Intelligence, Hq. USAF, as coordinated with the Departments of the Army and Navy.

V. Participation by Department of Defense Activities: Commanders and heads or chiefs of Department of Defense activities conducting or sponsoring RDT&E activities will insure that subordinate units:

A. Provide DDC with RDT&E reports, subject to the limitations in Section II. B. of the body of the Instruction, as follows:

1. Each scientific and technical report resulting from RDT&E effort and prepared by a Department of Defense activity or by a contractor, grantee, or potential contractor of the Department of Defense will be forwarded direct to DDC. At least 20 legible copies (one of which must be black typing or reproduction of black on white paper or suitable for reproduction by photographic techniques) will be forwarded when initial distribution of the report is made as directed by the sponsoring DoD activity.
2. Before reports are forwarded to DDC, the forwarding agency will insure that:
 - a. The report identifies the contributor, contract number, and sponsoring activity.
 - b. Limitations on further dissemination of the report are clearly stated on all copies and imposed only when necessary in the interest of security, to protect corporate rights not protected by patents, to protect the proprietary rights of the Government, to minimize the liability of the Government or its employees, or for ethical reasons such as the protection of information regarding the relative merits of commercial products. The following five statements cover the limitations required by the military services, and shall be used uniformly for this purpose:

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1. "Qualified requesters may obtain copies of this report from DDC."
2. "Foreign announcement and dissemination of this report by DDC is not authorized."
3. "U. S. Government agencies may obtain copies of this report directly from DDC. Other qualified DDC users shall request through _____."
4. "U. S. military agencies may obtain copies of this report directly from DDC. Other qualified users shall request through _____."
5. "All distribution of this report is controlled. Qualified DDC users shall request through _____."

(NOTE: Any of the above statements, when used, will appear in all copies of the report, under the heading: "DDC Availability Notice." Statements b.1 and b.2 may appear together, but only on unclassified reports. Each statement may be used individually on any report.)

- c. Each report contains an abstract of the subject matter therein and a list of key words which define the subject content.
 - d. The classification of the abstract and title, or assigned subject, of classified reports is indicated separately. As far as possible, titles and abstracts of classified reports should not include classified information, and, if they do not, must be marked "UNCLASSIFIED" or "(U)."
3. After documents are forwarded to DDC, the forwarding agency will insure that DDC is promptly informed of any subsequent changes in the security classification of a report, title, or abstract other than changes resulting from automatic, time-phased downgrading, and declassification. (Prompt notification of exemptions to automatic downgrading and declassification, however, will also be furnished to DDC).

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- B. Notify DDC promptly of contracts, grants, or other actions which will require or affect the service DDC provides and furnish necessary certification for establishing such services.
1. Contractors, potential contractors, and grantees will be certified for unclassified DDC service by submitting a completed Field-of-Interest Register (FOIR) to DDC. In addition to the Field-of-Interest Register, certification for classified DDC service requires submitting a certified Facility Clearance Form to DDC.
 2. The sponsoring DoD activity is responsible for approving the Field-of-Interest Register, which establishes the proposed recipient's eligibility for DDC service and, where classified service is authorized, also constitutes certification of the proposed recipient's requirement for knowledge of classified information to perform a Department of Defense contract, agreement, or grant (i.e., "need-to-know"). Information concerning the effective dates of contracts, agreements, or grants will be shown on the Field-of-Interest Register; contracts, agreements, or grants so reported will not themselves be submitted to DDC. The sponsoring DoD activity is responsible for notifying DDC promptly of subsequent premature terminations of contracts, agreements or grants, of extensions to them, and of any changes in "need-to-know." Concurrent with these actions to approve and subsequently to terminate prematurely, the sponsoring DoD activity is responsible for notifying the appropriate cognizant security office of establishment or disestablishment of a contractor's eligibility.
 3. The cognizant security office of the proposed recipient is responsible for certifying the Facility Security Clearance, which constitutes certification as provided in the Armed Forces Industrial Security Regulation that the proposed recipient has a current Facility Security Clearance of the appropriate degree and has facilities to protect classified material of the specified classification category entrusted to him. The cognizant security office, in accordance with the Armed Forces Industrial Security Regulation, is responsible for notifying DDC should the revocation

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or suspension of a clearance, or an unsatisfactory security condition, require the withholding of classified DDC service.

- VI. Disposition of Classified Information Disseminated by DDC: Classified documents disseminated by DDC will not be returned to DDC, but will be disposed of in accordance with applicable regulations and directives. Notification of disposition is not required by DDC.
- A. Department of Defense Contractors, Grantees, and Potential Contractors. When classified documents disseminated by DDC to Department of Defense contractors, grantees, and potential contractors have served their purpose they will be destroyed in accordance with paragraph 14, Industrial Security Manual for Safeguarding Classified Information. However, if retention of material is required after completion or termination of the contract, grant, or study agreement, the contractor, grantee, or potential contractor must be authorized by the appropriate officer or sponsoring military activity to retain DDC documents in accordance with paragraph 5k of that manual.
- B. Contractors of Other Executive Branch Agencies. When classified documents disseminated by DDC have served their purpose they will be destroyed or disposed of in accordance with instructions issued by the contracting agency.